

DOCKET NO.: UDC-0008

COPY OF PAPERS  
ORIGINALLY FILED

02/26/02

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:  
Kwong et al.

Group Art Unit:1772

Serial No.: 09/981,496

Customer No.: Not Assigned

Filing Date: October 17, 2001

Confirmation No.: 6929

For: PHOSPHORESCENT COMPOUNDS AND DEVICES COMPRISING THE  
SAME

DATE OF DEPOSIT: February 7, 2002

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL  
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ON THE DATE INDICATED ABOVE AND IS ADDRESSED  
TO BOX MISSING PARTS, ASSISTANT COMMISSIONER  
FOR PATENTS, WASHINGTON, DC 20231.

*Christine A. Giddard*  
TYPED NAME: Christine A. Giddard  
REGISTRATION NO. 46,731

BOX MISSING PARTS

Assistant Commissioner for Patents  
Washington DC 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION AND  
REQUEST FOR EXTENSION OF TIME

In response to the "Notice to File Missing Parts of Application--Filing Date Granted"  
dated December 17, 2001, a response to which is due February 17, 2002, enclosed herewith for  
filing is:

Declarations and Powers of Attorney

- ☒ A Combined Declaration and Power of Attorney, executed by the inventor(s). An unexecuted copy of this document, attached to the above-identified specification, was filed by Express Mail No. EL884783187US on October 17, 2001.
- ☐ A Combined Declaration and Power of Attorney, executed by the inventor(s) and identifying fewer/more inventors than those identified in the unexecuted declaration filed with to the above-identified application specification on @@, via by Express Mail No. @@. Such deletion/addition of inventors is specifically provided for in 37 CFR Sec. 1.48.

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- ☐ A copy of the original Declaration and Power of Attorney, executed by the inventor(s) as filed in parent application serial no. \_\_\_\_\_.
- ☐ A copy of the Power of Attorney with revocation filed on \_\_\_\_\_
- ☐ A Combined Power of Attorney with Revocation and Statement Under 3.73(b)
- ☒ An associate power of attorney executed by Christine A. Goddard who was listed on the original declaration/power of attorney.

**Drawings**

- ☐ \_\_\_\_\_ Sheets of Substitute drawings comprising Figures \_\_\_\_\_ in compliance with 37 C.F.R. 1.84.

**Sequence Listing** (Note - All items listed below are required if Sequence Listing is also being filed with Missing Parts)

- ☐ Paper copy of Sequence Listing
- ☐ Diskette containing Sequence Listing in computer readable form
- ☐ Amendment directing entry of sequence listing in specification
- ☐ Statement to Support Filing of Sequence listing

**Claim for Small Entity Status**

- ☐ Applicant(s) has previously claimed small entity status under 37 CFR §1.27.
- ☒ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 CFR §1.27 as:
  - ☐ an Independent Inventor
  - ☐ a Small Business Concern
  - ☐ a Nonprofit Organization

**Miscellaneous Items**

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- ☒ A copy of the Notice to File Missing Parts.
- ☐ Request for Corrected Filing Receipt.
- ☐ Request for Refund Due to Small Entity Status
- ☐ Request for Refund Due to Fee Calculation Error
- ☐ A substitute specification in compliance with 37 C.F.R. 1.52.
- ☐ Other: \_\_\_\_\_

**Fee Calculation and Extension of Time**

- ☐ Request is hereby made under 37 CFR 1.136(a) to extend the time for response to the Notice to File Missing Parts of Application due @@ to and through @@, comprising an extension of the shortened period of @@ months:

	SMALL ENTITY		NOT SMALL ENTITY	
	RATE	FEE	RATE	FEE
MISSING PARTS SURCHARGE	\$65	\$	\$130	\$130
<input type="checkbox"/> ONE MONTH EXTENSION OF TIME	\$55	\$	\$110	\$
<input type="checkbox"/> TWO MONTH EXTENSION OF TIME	\$200	\$	\$400	\$
<input type="checkbox"/> THREE MONTH EXTENSION OF TIME	\$460	\$	\$720	\$
<input type="checkbox"/> FOUR MONTH EXTENSION OF TIME	\$720	\$	\$1440	\$
<input type="checkbox"/> FIVE MONTH EXTENSION OF TIME	\$980	\$	\$1960	\$
TOTAL FEE DUE				\$130

Applicant(s) has/have not been notified that the requested extension will not be permitted. The present application is not involved in an interference declared pursuant to 37 CFR 1.207.

- ☒ A check in the total amount due of \$130 is attached to cover the surcharge and any requested extension of time. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.
- ☐ Please charge the surcharge to my Deposit Account No. 23-3050 in the amount of \$@@.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3050. This

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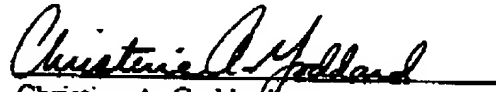
PATENT

sheet is attached in duplicate.

- ☒ Any additional filing fees required under 37 CFR 1.16 including fees for presentation of extra claims.
- ☒ Any additional patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in duplicate.
  - ☒ Any patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
  - ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
  - ☒ Any filing fees under 37 CFR 1.16 including fees for presentation of extra claims.

This sheet is attached in duplicate.

Date: *February 7, 2002*

  
Christine A. Goddard  
Registration No. 46,731

Woodcock Washburn LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/981,496	10/17/2001	Raymond C Kwong	UDC-0008

CONFIRMATION NO. 6929

## FORMALITIES LETTER



\*OC000000007201433\*

Christine A. Goddard  
Woodcock Washburn LLP  
One Liberty Place-46th Floor  
Philadelphia, PA 19103COPY OF PAPERS  
ORIGINALLY FILED  
03/28/01

Date Mailed: 12/17/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



PHILADELPHIA  
One Liberty Place, 46<sup>th</sup> floor  
Philadelphia, PA 19103  
Phone: 215-568-3100  
Fax: 215-568-3439

SEATTLE  
999 Third Avenue, Suite 1606  
Seattle, WA 98104  
Phone: 206-332-1380  
Fax: 206-624-7317

## FACSIMILE

DATE: April 5, 2002

JOB CODE:

14948

Please deliver this and the following pages to:

Name:

Company/Firm: U.S. PATENT AND TRADEMARK OFFICE - OIPE

Telecopier No.: 1-703-746-4060

Client/Matter No.: UDC-0008 S.N. 09/981,496

Sender's Name: Janet S. Jiulianti - Legal Assistant (215)564-8376

Pages to Follow: 12

If transmission is not complete, please call our Philadelphia Office at (215) 568-3100

### COVER MESSAGE:

Attached please find a response to the Request for Substitute Papers dated 3/26/02.

THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERY OF THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE AND RETURN THE ORIGINAL TO US AT THE ABOVE ADDRESS VIA THE U.S. POSTAL SERVICE. THANK YOU.

Woodcock Washburn LLP  
A Partnership Including Professional Corporations  
[www.woodcock.com](http://www.woodcock.com)

at the number indicated 703-746-4060(OIPE).

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO strongly prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within two (2) weeks of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. A copy of this notice should be included with the reply.

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: Christine A. Goddard Registration No. 46,731

Signature: Christine A. Goddard Date: 4-5-02



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/981,496	10/17/2001	Kwong, Raymond	UDC-0008

Christine A. Goddard  
Woodcock Washburn LLP  
One Liberty Place-46th Floor  
Philadelphia PA 19103

RECEIVED

MAR 30 2002

WOODCOCK WASHBURN LLP  
MACKENZIE & MOORE LLP

Title: Phosphorescent compounds and devices comprising the same

Date Mailed: 03/26/2002

## Request for Substitute Papers

The papers filed on 02/26/02 (certificate of mailing dated 02/01/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

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The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: Christine A. Goddard Registration No.: 46,731

Signature: Christine A. Goddard Date: 4-5-02

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APR 01 2002